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FILED: 10/6/53

RETURN TO

RECORDS MANAGEMENT  
ADMINISTRATIVE SERVICE

25 September 1953

MEMORANDUM FOR: Acting Deputy Director (Administration)

SUBJECT: Issuance of Records Management Bulletins

1. At the conclusion of the Records Management Training Program in May of this year, I discussed with the Chief, Regulations Control Staff, my idea of issuing information bulletins periodically to Area Records Officers. The purpose of these bulletins is to give those persons designated by their respective offices as Area Records Officers information and guidance which will assist them in the installation of a Records Management Program in accordance with the standards prepared by the General Services Office.

2. It was my understanding that this idea was agreeable and, since the bulletins were limited in scope and pertained only to the Records Management Program, we went ahead with the issuance of several bulletins. Copies of the first four issued are attached as Exhibits A, B, C, and D. We have also prepared drafts of two additional bulletins which we would like to issue as soon as possible in order to put before the Area Records Officers information that they need to go ahead with the installation of the program.

3. Each of the bulletins is based on policy or regulatory material that is already contained in Agency regulations. Bulletin No. 4, for instance, pertains to the preservation and destruction of records. The regulatory material on which this bulletin is based is contained in present Agency Regulation [ ] and Regulation [ ] [ ]

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4. The Department of the Navy, which is recognized as having the most effective Records Management Program in Government and in industry, has found that the publication of an informative communication giving current ideas in the Records Management field is one of the best means for stimulating interest and progress. Attached is a copy of one of the publications issued by the Department of the Navy, Exhibit E.

5. I am in complete agreement that any Agency issuance which contains regulatory or policy material should be issued as a regulation, notice, or handbook. On the other hand, I do not believe that the type of material that we propose to include in the Records Management Review Bulletin is of such a nature that such an issuance should be approved in advance by the Regulations Control staff.

6. In accordance with my understanding with you, all future bulletins on the Records Management Program will be cleared with you prior to their issuance. As indicated previously, these bulletins will be limited in scope and will be distributed only to the 24 Area Records Officers.

SIGNED

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Chief, General Services Office

Attachments

- Exhibit A. Rec. Mgt. Bulletin #1
- Exhibit B. Rec. Mgt. Bulletin #2
- Exhibit C. Rec. Mgt. Bulletin #3
- Exhibit D. Rec. Mgt. Bulletin #4
- Exhibit E. Dept. of Navy Publication -  
Rec. Mgt. Review

Distribution:

- Orig. & 2 - Addressee
- 2 - Gen. Serv. Off.
- 1 - Rec. Serv. Div. ✓

GSO/LGC:am (25 September 1953)

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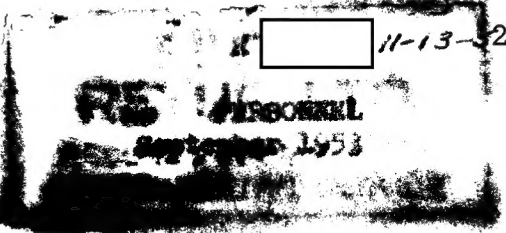
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**PERSONNEL RECORDS AND REPORTS**



Assignations:

- (1) CIA Regulation No.
- (2) CIA Regulation No.
- (3) CIA Notice No.
- (4) CIA Notice No.

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**1. GENERAL**

This Regulation governs the establishment, maintenance, and use of official personnel records of all staff employees and staff agents of CIA; it also prescribes the continuing or normal personnel statistical reports, essential for Agency administration. Additional personnel records for special purposes are discussed in other Regulations in this series.

**2. POLICY**

- a. Official personnel records will be maintained by the Personnel Office to provide data and information considered necessary to support and facilitate the administration, management, planning, and control of personnel activities of the Agency.
- b. The Chiefs of the major components within the Offices of the Deputy Directors, the Director of Training and the Assistant Director for Communications may authorize the use within their components of Optional Form 40, Employee Record Card, to provide necessary information for initiating and recording personnel actions, recording general qualifications and ~~personal data~~ for noting commendations, reprimands,

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and other pertinent matters.

## 3. RESPONSIBILITIES

- a. The Assistant Director (Personnel) is responsible for the establishment and maintenance of official personnel records, as provided in paragraphs 4a and 4b below, and for the preparation and dissemination of personnel reports as provided in paragraph 6 below.
- b. The Chief, General Services is responsible for providing machine records service for the recording and reporting of personnel information in accordance with the provisions of this Regulation.
- c. Officials who are responsible for the initiation of personnel actions are responsible for ascertaining and reporting changes in the personal status of employees under their jurisdiction to the Personnel Office and, as directed herein, to the Machine Records Branch, General Services Office. They are also responsible for furnishing records of official personnel information concerning employees under their jurisdiction to the Personnel Office for inclusion in the official personnel folder for the individual concerned.

## 4. OFFICIAL PERSONNEL RECORDS

## a. OFFICIAL PERSONNEL FOLDER

- (1) The Personnel Office will establish, maintain, and control the only official personnel folder for each staff employee and staff agent of the Agency. This folder will contain all official documents pertaining to the individual's employment with the Agency, such as the following:

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- (a) Application and appointment documents;
  - (b) Reports of personnel actions affecting the individual;
  - (c) Records indicating prior Federal service and Civil Service status;
  - (d) Correspondence, memoranda, and other non-operational material relating to the employee's service with the Agency, including personnel evaluation reports, letters of commendation, warnings of unsatisfactory performance, etc;
  - (e) Valid qualification records such as Form No. 37-152, Personnel Qualification Questionnaires.
- (2) The Chiefs of the major components within the Offices of the Deputy Directors, the Director of Training, and the Assistant Director for Communications or their designees may request and have made available to them the official personnel folders of employees under their jurisdiction. Officers designated to request personnel folders will have the status of branch chiefs or higher. Names of individuals designated to request official personnel folders will be reported in writing to the Assistant Director (Personnel). For administrative and security reasons, an employee's folder will not be referred to any other major component, as indicated above, without prior knowledge of the head of the major component to which he is assigned.
- (3) Officials receiving personnel folders are responsible for keeping them intact and returning them to the Personnel Office within a reasonable time, generally within 5 working days. No document will

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be included in or removed from the official personnel folder without prior authorization of the Assistant Director (Personnel) or his designee. Documents to be included in personnel folders will be forwarded to the Personnel Office for appropriate screening and filing. In order to standardize control over the transmittal and accompanying comments pertaining to the folder, only Forms No. 51-9 and 51-10, Routing and Record Sheet, will be used to route personnel folders. Form No. 37-274, Charge-Out Control Form, and Form No. 37-174A, Charge-Out Record, will be used by the Personnel Office as record and control instruments for official personnel folder loans.

(4) Official personnel folders for employees who leave the Agency will be disposed of as follows:

- (a) The folder of a former Agency employee who enters on duty with another Federal agency will ordinarily be transmitted to the gaining agency upon receipt of an official request for his record. In such cases, all classified and sensitive documents will be removed from the folder and all temporary documents withdrawn. If the folder records a period of Agency employment on unvouchered funds, the gaining Agency will be furnished, in lieu of the official personnel folder, a letter summarizing the individual's Agency employment in sterilized form. Documents pertaining to the employee's prior Federal service will be forwarded to the gaining agency even though CIA service is

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reported in letter form.

- (b) The folders of other employees leaving the Agency will be screened to delete references to pseudonyms and to eliminate duplicate material. These folders will be retained in the Personnel Office for one year following the employee's separation and then forwarded to the Agency Records Center for storage in accordance with the Agency's records administration program. Inactive records will be available to Agency officials upon request to the Personnel Office.

b. SERVICE RECORD CARD (SF-7)

- (1) Standard Form 7, Service Record Card, will be established by the Personnel Office for each staff employee and staff agent to serve as a summary record of all personnel actions affecting the individual and as a suspense record for the processing of periodic step-increases, personnel evaluation reports, etc.
- (2) Service Record Cards will be used by the Personnel Office as the basis for position inventory records maintained in accordance with approved Tables of Organization.

c. EMPLOYEE RECORD CARD (OF-4b)

- (1) In the interest of uniformity, the Personnel Office will assist the Chiefs of the major components within the Offices of the Deputy Directors, the Director of Training, and the Assistant Director for Communications in the establishment and maintenance of Employee

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Record Files, utilizing Optional Form 4b, Employee Record Card, in accordance with the following general instructions:

- (a) The Personnel Office will prepare an Employee Record Card for each new employee and forward it to the component concerned when the individual enters on duty.
- (b) Subsequent entries on the Employee Record Card will be made by the operating component from information derived from Standard Form 50, Notification of Personnel Action (or Standard Form 52, Request for Personnel Action, used in lieu thereof), and other appropriate documents.
- (c) Employee Record Cards for employees transferring within the Agency will be transferred to the gaining component. Employee Record Cards for employees leaving the Agency should be destroyed.

d. REQUESTING AND REPORTING PERSONNEL ACTIONS

(1) Request for Personnel Action (SF-52)

Standard Form 52, Request for Personnel Action, will be used for requesting any official personnel action, such as recruitment, appointment, and promotion. Instructions for the preparation and routing of Standard Form 52, Request for Personnel Action, will be issued by the Personnel Office in the form of an Agency Handbook.

(2) Notification of Personnel Action (SF-50 or SF-52)

Standard Form 50, Notification of Personnel Action, will be used to record approved actions affecting personnel paid from vouchered funds.

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Standard Form 58, Request for Personnel Action, will serve as the record of approved actions affecting personnel paid from unvouchered funds. Both of these forms, when used as the official report of an approved action, must be authenticated by an official authorized to act as appointing officer.

5. PERSONAL STATUS RECORD

a. PERSONNEL INFORMATION CARD (FORM NO. 37-6)

Form No. 37-6, Personnel Information Card, will be used for reporting and recording information relating to changes in the personal status of Agency staff employees assigned to headquarters.

b. MASTER PERSONNEL INFORMATION FILE

The Machine Records Branch, General Services Office, will maintain a master file of Personnel Information Cards of headquarters personnel for use as follows:

- (1) To facilitate the emergency planning program of the Agency;
- (2) To aid in the preparation of the Agency telephone directory;
- (3) To provide an information file reflecting the current home address and telephone number of each employee.

c. OFFICE PERSONNEL INFORMATION FILE

The Chiefs of major components within the Offices of the Deputy Directors, the Director of Training, and the Assistant Director for Communications will maintain files of duplicate Personnel Information Cards on employees under their jurisdiction. These cards will be furnished to the appropriate

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component by the Machine Records Branch, General Services Office.

d. REPORTING CHANGES IN PERSONAL STATUS

- (1) Each employee is responsible for immediately reporting any change in personal status to the appropriate administrative officer.
- (2) If the change affects any item recorded on Form No. 37-6, Personnel Information Card, the administrative officer will indicate the change on the card for that individual in the Personnel Information File of the component and forward the card to the Machine Records Branch, General Services Office, for adjustment of the master card. A new card will be returned to the initiating component by the Machine Records Branch.
- (3) The "remarks" section of Form No. 37-6 will be used as follows:
  - (a) To indicate the reason for the change in reporting a name change;
  - (b) To report transfer actions. This report of change is initiated by the former office to report the name of the gaining office and the effective date of the change in cases of transfer within or between offices or funds (vouchered and unvouchered);
  - (c) To report resignation by the notation "resigned."
- (4) Certain changes require action and recording in the Personnel Office. In addition to submission of Form No. 37-6 to the Machine Records Branch, General Services Office, the following changes will be reported to the Personnel Office as indicated:
  - (a) Change of name: report on Standard Form 92, Request for Personnel

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Action, in accordance with instructions issued by the Personnel Office.

(1) Change of marital status: report on Form No. 33-1, Personal History Statement, prepared in duplicate. Appropriate portions of the following sections should be completed: 1A, 3, 4, 8, 9, 10, 11, 26, and 28.

(c) Change in designation or address of the person to be notified in case of emergency: report by memorandum signed by the employee and forwarded to the Personnel Office through appropriate administrative channels.

**PERSONNEL REPORTS**

**SECURITY CONSIDERATIONS**

The following general principles will be applied to assure control consistent with current security requirements pertaining to the use and dissemination of personnel information within the Agency.

- (1) Statistical data reported in the Monthly Personnel Statistical Review, paragraph b below, will be limited to the status and disposition of staff employees, staff agents, military personnel, civilian personnel on formal detail and <sup>over-</sup>(appointed) consultants. Contractual personnel (United States citizens and foreign indigenous personnel) will not be included.
- (2) Statistical data concerning contractual personnel (United States citizens and foreign indigenous personnel) will be reported only to

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officials specifically authorized to receive such information.

- (3) Staff agents and contractual personnel will not be included in any general name listing of personnel. Special name listings including either of these categories will be handled as special reports and will be disseminated only to officials specifically authorized to receive such information.
- (4) As a general rule, requests for data pertaining to personnel not under jurisdiction of the requesting official require the approval of the Deputy Director, the Director of Training, or the Assistant Director for Communications, having jurisdiction over the personnel concerned.

b. MONTHLY PERSONNEL STATISTICAL REVIEW (MPSR)

The Personnel Office will prepare Monthly Personnel Statistical Reviews containing appropriate statistical tables, graphs and analyses. These reports will be distributed as follows:

- (1) The Monthly Personnel Statistical Review reporting over-all Agency figures will be distributed only to the Deputy Director (Administration) and such other officials as are specifically designated by him to receive the Agency report.
- (2) Monthly Personnel Statistical Reviews containing data for the components under their respective jurisdictions will be distributed to the Deputy Directors, the Director of Training, and the Assistant Director for Communications.
- (3) Monthly Personnel Statistical Reviews will be prepared for

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Distribution on or about the 20th day of the month following the end of the month covered by the report.

(4) <sup>1952 year</sup> An annual summary of the Monthly Personnel Statistical Reviews

ILLEGIB reporting over-all Agency figures will be prepared by the Personnel Office for distribution as approved by the Deputy Director (Administration).

**SPECIAL STATISTICAL REPORTS**

Requests for statistical data or analyses not included in the Monthly Personnel Statistical Review will be submitted for approval of the Assistant Director (Personnel) in accordance with the following:

(1) Requests for recurring reports

The Deputy Directors, the Director of Training, and the Assistant Director for Communications will approve requests for recurring reports initiated in their Offices.

(2) Requests for nonrecurring reports

The Deputy Directors, the Director of Training, and the Assistant Director for Communications will approve requests for nonrecurring reports except when the requested data pertains only to personnel of the requesting component. In the latter instance the request may be submitted by the Chief of the component concerned directly to the Assistant Director (Personnel).

d. **NONSTATISTICAL REPORTS**

Requests for personnel reports which are predominantly nonstatistical in

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nature, such as machine listings of personnel, T/O position listing, occupational and qualifications data, etc., will be submitted to the Assistant Director (Personnel) for approval in accordance with the following:

- (1) When the requested data pertains to a component other than the requesting component, the request requires the prior approval of the Deputy Director, the Director of Training, or the Assistant Director for Communications, concerned. If the requested data pertains to personnel in another Office, the request will be approved, as indicated above, and forwarded to the Deputy Director, the Director of Training, or the Assistant Director for Communications, having jurisdiction over such personnel, for concurrence.
- (2) Requests for recurring reports of this type require the approval of the Deputy Director, the Director of Training, or the Assistant Director for Communications, concerned.
- (3) If the request is for a nonrecurring report and the data requested pertains only to the requesting component, the request will be forwarded directly from the Chief of the major component within the Offices of the Deputy Directors, the Director of Training, and the Assistant Director for Communications, concerned to the Assistant Director (Personnel).
- (4) Approved machine record reports will be transmitted to the requesting office through the Assistant Director (Personnel). Such reports

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will be supplemented as appropriate with data from other official  
personnel records.

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Cross Reference

Organization & Management.

Staff Study from Asst. Mgt.  
Officer ~~Ad~~/a re special Courier  
Service. See Commo.

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